

Attorney Docket No.: 016285-003710US  
Client Ref. No.: 02/MED/122

PTO/SB/01A (08-03)

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention** CIRCULATING MRNA AS DIAGNOSTIC MARKERS

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 10/759,783, filed on January 16, 2004,
- ☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor 1 Yuk-Ming Dennis Lo Date: X 3 May 2004

Signature: X  Citizen of: United Kingdom

Inventor 2 Kai On Ng Date: X

Signature: X Citizen of: Canada

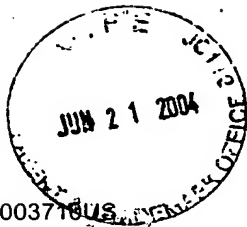
Inventor 3 Bo Yin Tsui Date: X 4 May 2004

Signature: X  Citizen of: Hong Kong

Inventor 4 Wai Kwun Rossa Chiu Date: X 4 May 2004

Signature: X  Citizen of: Australia

☐ Additional inventors are being named on additional form(s) attached hereto.



Attorney Docket No.: 016285-003716  
Client Ref. No.: 02/MED/122

PTO/SB/01A (08-03)

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention** CIRCULATING MRNA AS DIAGNOSTIC MARKERS

As the below named inventor(s), I/we declare that:

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☒ Application No. 10/759,783, filed on January 16, 2004,  
☐ as amended on \_\_\_\_\_ (if applicable);

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**FULL NAME OF INVENTOR(S)**

Inventor 1 Yuk-Ming Dennis Lo Date: X

Signature: X Citizen of: United Kingdom

Inventor 2 Kai On Ng Date: X 23 May 2004

Signature: X Citizen of: Canada

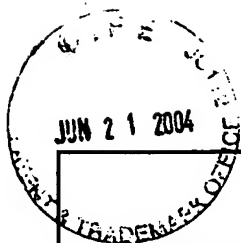
Inventor 3 Bo Yin Tsui Date: X

Signature: X Citizen of: Hong Kong

Inventor 4 Wai Kwun Rossa Chiu Date: X

Signature: X Citizen of: Australia

☐ Additional inventors are being named on additional form(s) attached hereto.

**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	10/759,783
Filing Date	January 16, 2004
First Named Inventor	Lo, Yuk-Ming Dennis
Title	CIRCULATING MRNA AS DIAGNOSTIC MARKERS
Art Unit	1634
Examiner Name	Not yet assigned
Attorney Docket Number	016285-003710US

I hereby appoint:

☒ Practitioners associated with the Customer Number**20350**

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

☐ Firm or  
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

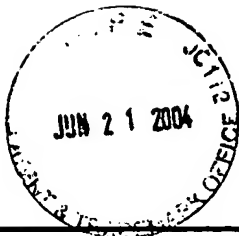
I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).**SIGNATURE of Applicant or Assignee of Record**

Name	X Ms Alice Ngan (Director of Research and Technology Administration Office)
Signature	X
Date	X 27 May 2004
Telephone	X (852) 2609-8883

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Yuk-Ming Dennis Lo et al.Application No./Patent No.: 10/759,783Filed/Issue Date: January 16, 2004Entitled: CIRCULATING MRNA AS DIAGNOSTIC MARKERSThe Chinese University of Hong Kong, a university

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

**OR**

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

X 27 May 2004  
Date

X (852) 2609-8883  
Telephone number

X Ms Alice Ngan  
Typed or printed name

X [Signature]  
Signature

Director of Research and  
Technology Administration Office  
Title

# COPY

Attorney Docket No.: 016285-003710US  
Client Reference No.: 02/MED/122

## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Yuk-Ming Dennis Lo of 7 King Tak Street, 4th Floor, Homantin, Kowloon, Hong Kong; Kai On Ng of Unit A, 20/F., Block 3, Ma On Shan Centre, Shatin, New Territories, Hong Kong; Bo Yin Tsui of Room 1501, Block 10, L. Ngau Tau Kok Estate, Kowloon, Hong Kong; and Wai Kwun Rossa Chiu of Flat 1A, Block 1, Constellation Cove, 1 Hung Lam Drive, Tai Po, New Territories, Hong Kong hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: CIRCULATING MRNA AS DIAGNOSTIC MARKERS

Date(s) of execution of Declaration: May 3, 2004; May 23, 2004; May 4, 2004;  
May 4, 2004

Filing Date: January 16, 2004

Application No.: 10/759,783; and

WHEREAS, The Chinese University of Hong Kong, a corporation of Hong Kong, located at Research and Technology Administration Office, Room 226, Pi Ch'iu Building, Shatin, New Territories, SAR, Hong Kong, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, Eighth Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

# COPY

Assignment for Application No. 10/759,783  
Attorney Docket No.: 016285-003710US  
Client Reference No.: 02/MED/122  
Page 2

**COPY**

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: x 3 MAY 2004

x   
Yuk-Ming Dennis Lo

Dated: x \_\_\_\_\_

x \_\_\_\_\_  
Kai On Ng

Dated: x 4 May 2004

x   
Bo Yin Tsui

Dated: x 4 May 2004

x   
Wai Kwun Rossa Chiu

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Assignment for Application No. 10/759,783  
Attorney Docket No.: 016285-003710US  
Client Reference No.: 02/MED/122  
Page 2

**COPY**

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: X \_\_\_\_\_

X \_\_\_\_\_  
Yuk-Ming Dennis Lo

Dated: X 23 May 2004

X \_\_\_\_\_  
Kai On Ng

Dated: X \_\_\_\_\_

X \_\_\_\_\_  
Bo Yin Tsui

Dated: X \_\_\_\_\_

X \_\_\_\_\_  
Wai Kwun Rossa Chiu

60204776 v1

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